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ABSTRACT

This paper draws on the experience of the Sebastopol Union School District, a small school district in California, which formed a team to manage facilities renovation. The team was comprised of the district superintendent, the architect, a construction manager, and a facility/financial consultant; it allowed the district to succeed at the school construction "game" in a manner similar to large school districts that enjoy well-developed facility departments. The paper outlines the roles and responsibilities of each member of the team in the following identified phases of facility development: master planning/educational specifications, funding and finances, design, pre- construction, construction, and post-construction. It illustrates the manner in which the several consultants coordinated their roles and responsibilities in an effort to ensure the most effective leadership for successful completion of projects that support the facility master plan. (EV)

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PLANNING EFFECTIVE LEADERSHIP FOR FACILITY DEVELOPMENT

(FOR SMALL AND MEDIUM SIZE DISTRICTS)

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Sebastopol Union School District

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Jim Patton, Patton and Associates

FOREWORD

The Sebastopol Union School District is similar to many small and medium sized districts in California, struggling with few resources within its District to provide leadership for its programs and staff and representation of its constituents. Similar to many districts, facility planning and development requires resources well beyond the capacity and expertise of its staff.

Sebastopol, a district of approximately 1400 students and three regular schools, recognized a substantial need to modernize all three schools and construct additional facilities. Through a local bond and several State applications to the Office of Public School Construction, the District endeavored to modernize all three schools, build two new libraries, a multipurpose facility and a joint use gymnasium at its Middle School. After considerable planning and design, the District discovered that Brook Haven Middle School was situated on extreme liquifiable soils and was determined unsafe for future occupancy. The eventual decision to fully demolish the school and replace the entire facility required the design and management for five major projects of modernization and new construction simultaneously, which also included the need for immediate mitigation of unsafe conditions.

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Fortunately the District had taken the necessary steps to ensure effective leadership for the development of its facilities. A team comprised of the District Superintendent, the Architect, a Construction Manager, and a Facility/Financial Consultant was formed and structured early in the process, ready for the challenges that arose. As a result of the work of this collaborative and creative team, the District has reorganized its priorities for facilities, achieved both facility and financial hardships from the State Allocation Board, completed several major projects, acquired approximately $18 million through a local bond and State eligibility and managed the design, construction and finances of each of its projects successfully.

School construction has become increasingly complex. Districts, the size of Sebastopol, are generally ill equipped to engage in such large and comprehensive projects. Through contractual arrangements, a Facility Development Team directly supervised by the district superintendent, can succeed at the school construction "game" in an effective manner similar to large school districts that enjoy well-developed facility departments.

This report outlines the roles and responsibilities of each member of the team in the following identified phases of facility development: Master Planning/Educational Specifications, Funding and Finances, Design, Pre Construction, Construction, and Post Construction. It should illustrate, by its design, the manner that the several consultants coordinate their roles and responsibilities in an effort to ensure the most effective leadership for the successful completion of its projects that support the Facility Master Plan.

MAJOR ROLES OF THE FACILITY DEVELOPMENT TEAM

District Representative - Ken Ranella, Superintendent

Provide leadership of the Facility Development Team, representing the interests of the District through all phases of the facility development process.

Architectural Services - Mark Quattrocchi, AIA

Provide architectural services including the establishment of District needs, assessment of facility conditions, design development for projects, cost analyses, assistance with State applications, bidding and contracts, monitoring construction and assistance with close-out.

Construction/Project Management - Ralph Caputo

Represent the District in overall guidance of the program budgeting, provide assistance with design and cost analyses. Directly supervise construction, manage schedules, and assist the District with "move-in" and project close-out.

Facility/Financial Consultant - Jim Patton & Associates

Represent the District to the Office of Public School Construction and the State Allocation Board in all phases of the facility development process.

Master Planning/Educational Specifications

(All Planning Prior to Schematic Design of Projects)

Team Member: District Representative/Superintendent

Primary Role: Provide District leadership and coordination in the development of a Comprehensive District Master Plan and Economic Plan for Facility Development.

Responsibilities:

Assist the Board of Trustees and staff in an understanding of the purposes of a Comprehensive District Master Plan.

Recommend to the Board of Trustees the necessary consultants for the development of the Master Plan.

Provide leadership to the Facility Team in defining roles and responsibilities of the consultants, planning the structure and design of the Master Plan, selecting District personnel and community members for participation, and ensuring that the planning process meets specified timelines.

Assist in the planning process ensuring that the educational specifications, the forecast for educational programs, the demographics of the community, and the perspectives of the entire school community are included.

Present the District Master Plan to the Board of Trustees, the community at large and the staff.

Ensure that preliminary research into available funding supports the Master Plan.

Team Member: Architect

Primary Role: Facilitate and manage the information gathering and production of the District's Master Plan/Educational Specifications.

Responsibilities:

Assist the District in creating the process for information/data gathering.

Assist in communication between the design team, District, and others involved in the process.

Provide leadership in facilitating the master planning/educational specification process.

Support the District with community and other public workshops and presentations.

Provide assessments of existing facilities and make recommendations including options, schedules and general cost estimates.

Provide information to allow the District to make informed decisions and facilitate prioritization.

Provide draft and final documents, complete with reliable estimates and schedules.

Team Member: Project/Construction Manager

Primary Role: Assist in the development of the District Master Plan.

Responsibilities:

Assist the Architect with assessments of facility conditions and feasibility assessments.

Assist the Architect in defining facility needs.

Assist the Architect in the compilation of schedules and cost estimates.

Review District AHERA (Hazmat) and other maintenance documents, coordinating with the Architect.

Participate in the aligning of educational specifications with the facility planning process.

Assist with presentations to the Board, staff and community.

Team Member: Facility/Financial Consultant

Primary Role: Assist the District Representative and the planning team in the development of a Master Plan.

Responsibilities:

Assist in the collection of data from the District and community.

Assess the conditions in the District related to eligibility for State Building Programs.

Project potential revenue from the State and other sources.

Assist in the presentation of the Master Plan to the Board, staff and community.

Funding and Financing

Team Member: District Representative/Superintendent

Primary Role: Ensure that necessary funding is attained and available to support each phase of the facility development process.

Responsibilities:

Define budgets for all facility projects according to available funding.

Provide coordination of all efforts by District staff and consultants in the application process for State funding.

Assist community advocacy groups in the attainment of funds through local facility bonds.

Explore other financing options for cash flow.

Monitor the design process to ensure compliance with established budgets.

Coordinate efforts by District staff and facility consultants in the acquisition of funding from the State.

Provide ongoing updates to the Board of Trustees.

Develop and monitor the process for change orders.

Ensure proper business processes for contracts, purchase orders and payables.

Team Member: Architect

Primary Role: Provide reliable cost information and support efforts for funding.

Responsibilities:

Identify "project costs" which reflect the District's Master Plan/Educational Specifications.

Provide optional costs to accommodate a variety of possible funding scenarios including project cost deductions or alternatives.

Seek cost effective design solutions that provide quality facilities.

Assist the District in seeking State funding.

Team Member: Project/Construction Manager

Primary Role: Compile, coordinate and monitor a Master Budget of all projects.

Responsibilities:

Identify all project cost categories, coordinating with the Architect.

Assist the Architect in the compilation/review of design estimates.

Compile a Master Budget and assist the District in budget management.

Appropriate prudent contingencies.

Assist the District in seeking funding options.

Assist the District with information to the Board and community.

Team Member: Facility/Financial Consultant

Primary Role: Provide leadership in the identification, application process and monitoring of all funding sources including the Office of Public School Construction and the State Allocation Board.

Responsibilities:

Facilitate the application process for State funding.

Represent the District to the staff at the Office of Public School Construction and directly to the State Allocation Board.

Assist the team in developing the scheduling that correlates with the availability of State revenue sources.

Monitor progress of applications and projects at the Office of Public School Construction.

Assist in presentations to the Board of Trustees and the community.

Design

(Includes Schematic Design, Design Development,

and Construction Documents)

Team Member: District Representative/Superintendent

Primary Role: Ensure that the design process meets District specifications and timelines, involving appropriate staff members in the process.

Responsibilities:

Review Architectural plans.

Coordinate design review by appropriate individuals and groups within the District.

Facilitate presentations to the Board of Trustees, staff and community.

Ensure that each phase of the design process corresponds to identified budgets.

Ensure that facility designs maximize available funding from the State.

Team Member: Architect

Primary Role: Fulfill the District's vision for its schools in buildings that delight the users, and that meet program, quality, budget and schedule needs.

Responsibilities:

Provide leadership in translating the District's master plan/educational specifications into site and user responsive buildings and grounds.

Communicate to all parties during the design process.

Provide options and alternatives with budget implications that allow the District to make informed decisions.

Seek opportunities to translate program needs into spaces that are delightful and worthy of the students and teachers who use them.

Lead in reviewing the design work with all parties who have an interest and investment in the project's success.

Provide accurate and timely budget and schedule information through the design phases for District and construction management review.

Seek design solutions that are buildable and work with the Construction Manager during value engineering.

Provide quality and cost effective materials that are durable, low maintenance and provide interest to the buildings.

Make appropriate presentations to the Board and community.

Team Member: Project/Construction Manager

Primary Role: Coordinate the design process with the District, manage timelines, review construction materials and provide budget options.

Responsibilities:

Manage the design timelines and budgets.

Assist the District with decisions and options.

Assist with value engineering, materials and method selections.

Develop "front end" documents with the Architect and District's legal counsel.

Review the design according to construction specifications.

Review the design budgets and make appropriate recommendations.

Help determine phasing requirements and/or separate contract options.

Identify and procure other consultant needs (civil/soils/Hazmat).

Assist the District with information and presentations to the Board and public.

Team Member: Facility/Financial Consultant

Primary Role: Ensure that the architectural design coordinates with State revenue sources.

Responsibilities:

Review the design to ensure coordination with State eligibility for funding.

Ensure the design maximizes State funding.

Pre-Construction

(Final Preparation Including Bidding and Notice to Proceed)

Team Member: District Representative/Superintendent

Primary Role: Prepare the District for construction including awarding contracts and mitigation of the impact of the construction process on existing campuses.

Responsibilities:

Ensure proper preparation for interim housing.

Prepare contracts for Board action and processing.

Review Master Schedules.

Develop and implement the mitigation of the construction process on operating educational programs.

Team Member: Architect

Primary Role: Assist the District and work with the Construction Manager during bidding, award of contract and preparation for the trials and trivializations of construction.

Responsibilities:

Assemble approved documents for bidding that meet the District's legal and bidding standards.

Create bid alternatives for review and approval of the District.

Widely advertise the project.

Provide leadership in responding to bidder's questions; prepare addenda, facilitate site visits and assist with the acceptance of bids.

Assist the District in the evaluation of bids and recommendations to the Board of Trustees.

Assist the District with procuring testing and inspection services.

Provide advice on phasing, storage, moving and temporary housing.

Team Member: Project/Construction Manager

Primary Role: Manage timelines, provide detailed cost estimates and review proposed documents.

Responsibilities:

Finalize interim housing arrangements.

Coordinate off-site requirements with the utility districts, city and county as required.

Finalize the phasing plan.

Assist the District with moving and storage needs.

Make necessary revisions to the Master Schedule and budget.

Assist the District and Architect with bid alternates to ensure conformance with the budget.

Assist the District and Architect with bid advertisement and outreach solicitation for DVBE requirements.

Assist the District with selection of a testing lab, and project inspector.

Finalize constructability review and cost estimates.

Help the District prepare for construction.

Analyze bids and advise the District on award of contracts.

Review all contracts and bonds.

Team Member: Facility/Financial Consultant

Primary Role: Assist the District in obtaining revenue in a timely manner to coordinate with construction.

Responsibilities:

Ensure that the State Allocation Board action coincides with the beginning of construction.

Work with staff from the Office of Public School Construction processing necessary applications and forms in a timely manner.

Assist with the approvals and review of projects by California Department of Education.

Construction

(From Award of Contract to Notice of Completion)

Team Member: District Representative/Superintendent

Primary Role: Monitor progress through the Construction Manager and attendance at construction meetings.

Responsibilities:

Meet regularly with the Construction Manager and attend construction meetings.

Provide ongoing updates to the Board of Trustees, staff and community.

Monitor change orders.

Ensure business operations follow the contract for payment schedule to all contractors.

Team Member: Architect

Primary Role: Observe construction for conformance with the requirements of the construction specifications and documents.

Responsibilities:

Review the contractor's schedule and work for conformance and advise the District accordingly.

In coordination with the Construction Manager, provide leadership for the timely and accurate flow of information.

Advise the District on all manners of construction issues including applications for

payment, requests for substitutions and change order requests.

Responds to questions and requests for information from the contractor, inspector and Construction Manager.

Review and respond to submittals and shop drawings.

Provide project punch lists and close out procedures to the contractor.

Advise and assist the District and Construction Manager for contractor claim resolution.

Submit final DSA paperwork.

Team Member: Project/Construction Manager

Primary Role: Supervise the construction project.

Responsibilities:

Issue Notices of Award and Notices to Proceed.

Manage contracts.

Analyze all proposed change orders and make recommendations to the District.

Manage project budgets.

Manage timelines and work with the contractor to maintain contractual schedules.

Assist the Architect with the development of a punch list.

Provide ongoing information about progress to the District Representative.

Coordinate communications with all team members.

Represent the District in negotiations with the Contractor regarding change orders, additional contracts.

Keep appropriate records to be used for "close-out," potential claims and "as built" drawings and plans.

Team Member: Facility/Financial Consultant

Primary Role: Represent the District to the Office of Public School Construction.

Responsibilities:

Coordinate special project needs or identified problems with the Office of Public School Construction for any available funding.

Post-Construction/Close Out

(Activities Following Notice of Completion)

Team Member: District Representative/Superintendent

Primary Role: Ensure appropriate close-out procedures and finalize budget and expenditures.

Responsibilities:

Coordinate occupancy.

Allocate resources for the purchases of furniture and equipment.

Prepare proper documentation for "close out" and reports to the State.

Make a final presentation to the Board of Trustees and community.

Prepare appropriate ceremonies and/or celebrations for the community.

Team Member: Architect

Primary Role: Assist the District with warranty and other issues of "close-out."

Responsibilities:

Review the project prior to the expiration of the one-year warranty for latent defects.

Respond to District reports of construction deficiencies including notifying contractor of problems.

Assist the District during OPSC or other funding "close-out" audits.

Assist the District with the Notice of Completion and contractor's final application for the project.

Team Member: Project/Construction Management

Primary Role: Assist the District and Architect with project close out and procedures for owner occupancy.

Responsibilities:

Assist the District with furniture and equipment purchases, receiving and set up.

Coordinate ongoing training for the use of equipment and systems.

Address warranty issues.

Coordinate with all team members in "close-out" procedures for DSA and OPSC.

Provide analysis and assistance to the District in the event of contractor's claims.

Supervise final testing and reports.

Provide the District with all documentation regarding the project.

Team Member: Facility/Financial Consultant

Primary Role: Represent the District to the Office of Public School Construction regarding "close-out" and other issues regarding financial commitments.

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